

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	09802163
Filing Date	2001-03-08
First Named Inventor	Christopher Keith
Art Unit	3692
Examiner Name	Clement B. Graham
Attorney Docket Number	IVEN125525

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Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1	3702007	A	1972-10-31	Davis II	
	2	4346442	A	1982-08-24	Musmanno	
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	4	4456957	A	1984-06-26	Schiltz	
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	7	5148365	A	1992-09-15	Dembo	
	8	5253165	A	1993-10-12	Leiseca	

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9	5297031	A	1994-03-22	Guterman	
10	5297032	A	1994-03-22	Trojan	
11	5453601	A	1995-09-26	Rosen	
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13	5689652	A	1997-11-18	Lupien	
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19	5953707	A	1999-09-14	Huang	

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	20	6029146	A	2000-02-22	Hawkins	
	21	6035289	A	2000-03-07	Chou	
	22	6068117	A	2000-05-30	Koehn	
	23	6101484	A	2000-08-08	Halbert	
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	29	6317727	B1	2001-11-13	May	
	30	6317728	B1	2001-11-13	Kane	

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	31	6321212	B1	2001-11-20	Lange	
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	33	6359633	B1	2002-03-19	Balasubramaniam	
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	41	6625583	B1	2003-09-23	Silverman	

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	42	6629082	B1	2004-09-30	Hambrecht	
	43	6792399	B1	2004-09-14	Phillips	
	44	7058601		2006-06-06	Paiz	

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U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code ¹	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20030014379	A1	2003-01-16	Saias	

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FOREIGN PATENT DOCUMENTS

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NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T ⁵
	1	Board of Trade of the City of Chicago, Commodity Trading Manual, 1998, pp. 178-179, 387.	<input type="checkbox"/>

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2	HULL, J.C., Introduction to Futures & Options Markets, 2d ed., Prentice Hall, Englewood Cliffs, N.J., 1995, pp. 4-6, 11, 26, 33-34.	<input type="checkbox"/>
3	LIVINGSTON, M., Bonds and Bond Derivatives, Blackwell Publishers Inc., Malden, Mass., 1999, pp. 38-41.	<input type="checkbox"/>
4	"More Companies Buying Back Stock," The Salt Lake Tribune, April 9, 2000, < http://proquest.umi.com/pqdweb?index=6&did=52501230&SrchMode=1&sid=21&Fmt=3... > [retrieved November 3, 2005].	<input type="checkbox"/>
5	The Options Institute, "Options: Essential Concepts & Trading Concepts," 3d ed., McGraw-Hill, New York, 1999, p. 420.	<input type="checkbox"/>

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EXAMINER SIGNATURE

Examiner Signature	/Clement Graham/	Date Considered	12/07/2008
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

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Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

That each item of information contained in the information disclosure statement was first cited in any communication
 from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to
 any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

See attached certification statement.
 Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.
 None

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Kevan L. Morgan/	Date (YYYY-MM-DD)	2007-03-09
Name/Print	Kevan L. Morgan	Registration Number	42015

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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